

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 208753

First Inventor Tazuo HATTORI

NOVEL PLASMID, BEARING THE  
PLASMID, AND METHOD OF  
PRODUCING AN ENZYME USING  
THE TRANSFORMANT

Express Mail Label No.

EL643536716US

## APPLICATION ELEMENTS

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

## ACCOMPANYING APPLICATION PARTS

1. ☒ Utility Patent Application Transmittal Form
2. ☐ Applicant claims small entity status. See 37 CFR 1.27.
3. ☒ Specification (including claims and abstract) [Total Pages 18]  
[Total Sheets 1]
4. ☒ Drawings [Total Sheets 1]
5. ☒ Combined Declaration and Power of Attorney [Total Pages 4]
  - a. ☒ Newly executed
  - b. ☐ Copy from prior application [Note Box 6 below]
    - i. ☐ Deletion of Inventor(s) Signed statement attached deleting inventor(s) named in the prior application
6. ☐ Incorporation by Reference: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b is considered as part of the disclosure of the accompanying application and is hereby incorporated by reference.
7. ☒ Application Data Sheet. See 37 CFR 1.76
8. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
9. Nucleotide and/or Amino Acid Sequence Submission
  - a. ☒ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☒ Paper Copy
  - c. ☒ Statement verifying identity of above copies
10. ☐ Applicant requests early publication. (include publication fee under 37 CFR 1.18(d))
11. ☐ Assignment Papers (cover sheet and document(s))
12. ☐ 37 CFR 3.73(b) Statement (when there is an Assignee)
13. ☐ Power of Attorney
14. ☐ English Translation Document (if applicable)
15. ☐ Information Disclosure Statement (IDS)
  - ☐ Form PTO-1449
  - ☐ Copies of Listed Documents
16. ☐ Preliminary Amendment
17. ☒ Return Receipt Postcard (Should be specifically itemized)
18. ☐ Certified Copy of Priority Document(s)
19. ☐ Request & Certification Under 35 USC 122(b)(2)(B)(i) (Form PTO/SB/35 or its equivalent attached)
20. ☐ Other:
21. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information in (a) and (b) below:
  - (a) ☐ Continuation ☐ Divisional ☐ Continuation-in-part of prior application no. \_\_\_\_\_  
Prior application information: Examiner \_\_\_\_\_; Group Art Unit: \_\_\_\_\_
  - (b) Preliminary Amendment: Benefit of earlier filing date - 35 USC 120. The Commissioner is requested to amend the specification by inserting the following sentence before the first line:  
"This is a ☐ continuation ☐ divisional ☐ continuation-in-part (CIP) of  
☐ Application No. \_\_\_\_\_, filed on \_\_\_\_\_, which is incorporated by reference."  
☐ International Application No. \_\_\_\_\_, filed on \_\_\_\_\_, which designates the U.S., and  
which is incorporated by reference."


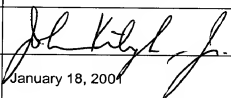
## UTILITY PATENT APPLICATION TRANSMITTAL

Attorney's Pocket No. 208753

APPLICATION FEES				
BASIC FEE				\$710.00
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total Claims	6	-20=	0	x \$18.00 \$0.00
Independent Claims	1	-3=	0	x \$80.00 \$0.00
<input type="checkbox"/> Multiple Dependent Claim if applicable				+ \$270.00 \$0.00
			Total of above calculations =	\$710.00
			Reduction by 50% for filing by small entity =	\$(0.00)
<input type="checkbox"/> Assignment fee if applicable				+ \$40.00 \$0.00
<input type="checkbox"/> Early publication fee if applicable				+ \$300.00 \$0.00
			TOTAL =	\$710.00

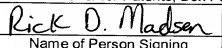
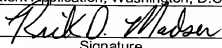
22. ☐ Please charge my Deposit Account No. 12-1216 in the amount of \$
23. ☒ A check in the amount of \$710.00 is enclosed.
24. The Commissioner is hereby authorized to credit overpayments or charge any additional fees of the following types to Deposit Account No. 12-1216:
- ☒ Fees required under 37 CFR 1.16.
  - ☒ Fees required under 37 CFR 1.17.
25. ☐ The Commissioner is hereby generally authorized under 37 CFR 1.136(a)(3) to treat any future reply in this or any related application filed pursuant to 37 CFR 1.53 requiring an extension of time as incorporating a request therefor, and the Commissioner is hereby specifically authorized to charge Deposit Account No. 12-1216 for any fee that may be due in connection with such a request for an extension of time.

## 26. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number: 23460  <b>23460</b> <small>PATENT TRADEMARK OFFICE</small>		<input type="checkbox"/> John Kilyk, Jr., Reg. No. 30,763 Leydig, Voit & Mayer, Ltd. Two Prudential Plaza, Suite 4900 180 North Stetson Chicago, Illinois 60601-6780 (312) 616-5600 (telephone) (312) 616-5700 (facsimile)
Name	John Kilyk, Jr., Registration No. 30,763	
Signature		
Date	January 18, 2001	

## Certificate of Mailing Under 37 CFR 1.10

I hereby certify that this Utility Patent Application Transmittal and all accompanying documents are being deposited with the United States Postal Service "Express Mail Post Office To Addressee" Service under 37 CFR 1.10 on the date indicated below and is addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

		January 18, 2001
Name of Person Signing	Signature	Date

Utility (Rev. 11/13/2000)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Hattori et al.

Group Art Unit: Unassigned

Application No. Unassigned

Examiner: Unassigned

Filed: January 18, 2001

For: NOVEL PLASMID, BEARING THE PLASMID,  
AND METHOD OF PRODUCING AN  
ENZYME USING THE TRANSFORMANT


**SUBMISSION OF SEQUENCE LISTING**

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In accordance with the requirements of 37 C.F.R. §§ 1.821-1.825, a sequence listing is being submitted as part of the patent application. The sequence listing is in the form of both a paper copy and a computer readable copy on a computer diskette. The undersigned hereby verifies that the contents of the paper copy and the computer readable copy, as concurrently being submitted, are the same.

Respectfully submitted,

  
\_\_\_\_\_  
John Kalyk, Jr., Reg. No. 30,763  
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Date: January 18, 2001

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